

## Appendix 1 - Model # 2A

### ENCLOSURE I

#### INFORMATION REQUIRED FOR REVIEW

**Note to M+CO: Please read M+CO Instructions worksheet.**

<b>Send to RO</b>	<b>Have Available Onsite</b>	<b>NA</b>	<b>Deemable (Y/N)</b>	<b>GENERAL INFORMATION</b>				
					Current organization chart with position title and name of individual responsible for finance, medical management, provider relations, quality assurance, marketing, enrollment/disenrollment, claims processing, appeals/grievances, customer service, MIS. Identify reporting relationships. Identify the number of FTEs each individual supervises and how many of these FTEs are dedicated to the Medicare product.			
					Policies and procedures for customer service			
					Minutes from Board of Directors Meetings			
<b>CHAPTER 2 - ENROLLMENT AND DISENROLLMENT</b>								
<b>Send to RO</b>	<b>Have Available Onsite</b>	<b>NA</b>	<b>Deemable (Y/N)</b>	<b>Element Code</b>	<b>Description of Element/General Information</b>	<b>Element Type</b>	<b>Associated Worksheet(s)</b>	
					<b>Enrollment</b>			
					Documentation for all elements excluding NA (and Deemable, if Deemed)			
					Policies and procedures excluding NA (and Deemable, if Deemed)			
			N	ER01	Enrollment Election Forms - Signature	Sample	WS-ER1	
			N	ER02	Enrollment Election Form Receipt- Date Stamp	Sample	WS-ER1	
			N	ER03	Enrollment Effective Date and Type (Timeliness)	Sample	WS-ER1	
			N	ER04	Enrollment Election Form Completion Process	Sample	WS-ER1 & WS-ER2	
			N	ER05	Enrollment Acknowledgement (Timeliness)	Sample	WS-ER1	
			N	ER06	Enrollment Acknowledgement (Notice Content)	Sample	WS-ER1	

Send to RO	Have Available Onsite	NA	Deemable (Y/N)	Element Code	Description of Element/General Information	Element Type	Associated Worksheet(s)
			N	ER07	Denial of Enrollment Prior to Transmission to CMS (Timeliness)	Sample	WS-ER1 & WS-ER2
			N	ER08	Denial of Enrollment Prior to Transmission to CMS (Notice Content)	Sample	WS-ER1 & WS-ER2
			N	ER09	Final Notice of Enrollment/CMS Rejection (Timeliness)	Sample	WS-ER1 & WS-ER3
			N	ER10	Final Notice of Enrollment/CMS Rejection (Notice Content)	Sample	WS-ER1 & WS-ER3
			N	ER11	Submission of Enrollment Transactions to CMS	Sample	WS-ER3
			N	ER12	Retroactive Enrollment Requests	Sample	WS-ER3
			N	ER13	EGHP-Employer Group Retroactive Enrollment	Sample	WS-ER4
			N	ER14	Correct Institutional Status Reported	Sample	WS-ER5
			N	ER15	Appropriate Follow-Up on Changes in State and County Code	Sample	WS-ER6
			Y	ER16	Prohibition of Health Screening	Ongoing	
					<b>Disenrollment</b>		
					Documentation for all elements excluding NA		
					Policies and procedures excluding NA		
			N	DN01	Compliant Disenrollment Process	Sample	WS-DN1
			N	DN02	Voluntary Disenrollment (Timeliness)	Sample	WS-DN1 & WS-DN2
			N	DN03	Voluntary Disenrollment (Notice Content)	Sample	WS-DN1 & WS-DN2
			N	DN04	Refund of Premium	Sample	WS-DN1, WS-DN2, WS-DN3 & WS-DN4
			N	DN05	Involuntary Disenrollment for Nonpayment of Premium (Optional)	Sample	WS-DN3
			N	DN06	Involuntary Disenrollment for Move Out of Service Area	Sample	WS-DN4
			N	DN07	Compliant Retroactive Disenrollment Requests	Ongoing	
			N	DN08	Involuntary Disenrollment for Disruptive Behavior	Ongoing	
			N	DN09	Involuntary Disenrollment for Fraud or Abuse	Ongoing	
			N	DN10	Inappropriate Encouragement to Disenroll	Ongoing	

Send to RO	Have Available Onsite	NA	Deemable (Y/N)	Element Code	Description of Element/General Information	Element Type	Associated Worksheet(s)
<b>CHAPTER 3 - MARKETING</b>							
Send to RO	Have Available Onsite	NA	Deemable (Y/N)	Element Code	Description of Element/General Information	Element Type	Associated Worksheet(s)
					Documentation for all elements excluding NA (and Deemable, if Deemed)		
					Policies and procedures excluding NA (and Deemable, if Deemed)		
			N	MR01	Appropriate Submission and Distribution of Marketing Materials	Ongoing	
			Y	MR02	Disclosure of Required Deemable Information to Beneficiaries	Ongoing	
			N	MR03	Disclosure of Required Non-Deemable Information to Beneficiaries	Ongoing	
			N	MR04	Information Provided to Beneficiaries Upon Request	Ongoing	
			N	MR05	Marketing Materials: Enrollment and Understanding of Plan Rules	Ongoing	WS-MR1
			N	MR06	Appropriate Notice Given to Members Before Plan Rule Change	Ongoing	
			N	MR07	Allocation of Marketing Resources to Disabled	Ongoing	
			N	MR08	No Engagement in Activities Which Mislead, Confuse, or Misrepresent M+CO	Ongoing	WS-MR1
			N	MR09	Good Faith Effort to Provide Written Notice of PCP Termination	Ongoing	
			N	MR10	Materials Provided for Significant Non-English Speaking Population	Ongoing	
<b>CHAPTER 4 - BENEFITS AND BENEFICIARY PROTECTIONS</b>							
Send to RO	Have Available Onsite	NA	Deemable (Y/N)	Element Code	Description of Element/General Information	Element Type	Associated Worksheet(s)
					<b>Access and Availability</b>		
			Y		HSD Tables 1 - 4		
					Documentation for all elements excluding NA (and Deemable, if Deemed)		
					Policies and procedures excluding NA (and Deemable, if Deemed)		
			Y	AA01	Adequate and Appropriate Provider Network	Onsite	HSD Tables 1-4
			Y	AA02	Adequate and Appropriate Access to Care	Onsite	
			Y	AA03	PCP Panel Established and Maintained	Onsite	HSD Tables 1-2

Send to RO	Have Available Onsite	NA	Deemable (Y/N)	Element Code	Description of Element/General Information	Element Type	Associated Worksheet(s)
			Y	AA04	Necessary Specialty Care Provided	Onsite	HSD Tables 1-2
			Y	AA05	Services Provided with Cultural Competence	Onsite	
					<b>Health Assessment</b>		
					Documentation for all elements excluding NA (and Deemable, if Deemed)		
					Policies and procedures excluding NA (and Deemable, if Deemed)		
			Y	HA01	Initial Health Assessment Conducted	Onsite	
			Y	HA02	Identification and Coordination of Complex/Serious Conditions	Onsite	
					<b>Coordination of Care</b>		
					Documentation for all elements excluding NA (and Deemable, if Deemed)		
					Policies and procedures excluding NA (and Deemable, if Deemed)		
			Y	CC01	Continuity of Care Through Community Arrangements	Onsite	
			Y	CC02	Timely Communication of Clinical Information	Onsite	
			Y	CC03	Standards for Member Input into Treatment Plan/Advance Directives	Onsite	
			Y	CC04	Member Health Record Uses Established Standards	Onsite	
					<b>Confidentiality</b>		
			Y	CF01	Confidentiality of Member Information	Onsite	
					<b>Anti-Discrimination</b>		
			Y	AD01	No Member Discrimination in Delivery of Health Care	Ongoing	
					<b>Delegation</b>		
			Y	DG01	Oversight of Delegated Entities with Chapter 4 Responsibilities	Onsite	
					<b>CHAPTER 5 - QUALITY ASSURANCE</b>		
Send to RO	Have Available Onsite	NA	Deemable (Y/N)	Element Code	Description of Element/General Information	Element Type	Associated Worksheet(s)
					Documentation for all elements excluding NA (and Deemable, if Deemed)		
					Policies and procedures excluding NA (and Deemable, if Deemed)		
			Y	QY01	QAPI Program Evaluated Annually	Onsite	
			Y	QY02	Adequate Health Information System	Onsite	

Send to RO	Have Available Onsite	NA	Deemable (Y/N)	Element Code	Description of Element/General Information	Element Type	Associated Worksheet(s)
			Y	QY03	Appropriate Utilization Management Program	Onsite	
			Y	QY04	Minimum Required Performance Levels Achieved	Onsite	
			Y	QY05	Significant Problems Corrected	Onsite	
			N	QY06	Independent Quality Review and Improvement Organization Agreement Maintained	Onsite	
			Y	QY07	Oversight of Delegated Entities with Chapter 5 Responsibilities	Onsite	
				<b>CHAPTER 6 - PROVIDER RELATIONS</b>			
Send to RO	Have Available Onsite	NA	Deemable (Y/N)	Element Code	Description of Element/General Information	Element Type	Associated Worksheet(s)
					Documentation for all elements excluding NA (and Deemable, if Deemed)		
					Policies and procedures excluding NA (and Deemable, if Deemed)		
					Malpractice Insurance Requirements		
			Y	PR01	Participation and Termination Procedures	Onsite	
			Y	PR02	Consultation With Physicians and Subcontracted Physician Groups	Onsite	
			Y	PR03	Credentialing Requirements for Physicians and Other Health Care Professionals	Sample	WS-PR1
			Y	PR04	Process for Consultation with Health Care Professionals Regarding Credentialing	Onsite	
			Y	PR05	Credentialing Requirements for Facilities	Onsite	
			Y	PR06	Discrimination Against Health Care Professionals Prohibited	Ongoing	
			Y	PR07	No Prohibition on Health Care Professional Advice to Patients	Ongoing	
				<b>CHAPTER 11 - CONTRACTS</b>			
Send to RO	Have Available Onsite	NA	Deemable (Y/N)	Element Code	Description of Element/General Information	Element Type	Associated Worksheet(s)
					Provider Directory (to be requested for Contracts universe if the M+CO is deemed. If M+CO is not deemed, HSD tables should be used)		
					Documentation for all elements excluding NA (and Deemable, if Deemed)		
					Policies and procedures excluding NA (and Deemable, if Deemed)		

Send to RO	Have Available Onsite	NA	Deemable (Y/N)	Element Code	Description of Element/General Information	Element Type	Associated Worksheet(s)
			Y	CN01	Required Contract Provisions: Privacy and Confidentiality	Sample	WS-CN1
			N	CN02	Required Contract Provisions: Prompt Payment	Sample	WS-CN1
			N	CN03	Required Contract Provisions: Hold Harmless	Sample	WS-CN1
			N	CN04	Required Contract Provisions: Abide by Federal Requirements	Sample	WS-CN1
			N	CN05	Required Contract Provisions: Accountability for M+C Regulations	Sample	WS-CN1
			N	CN06	Required Contract Provisions: Compliance with M+CO's Policies and Procedures	Sample	WS-CN1
			Y	CN07	Required Contract Provisions: Delegation Requirements for Deemable Activities	Sample	WS-CN1
			N	CN08	Required Contract Provisions: Delegation Requirements for Non-deemable Activities	Sample	WS-CN1
			N	CN09	Adequate Compliance Plan	Onsite	
<b>CHAPTER 13 - CLAIMS, ORGANIZATION DETERMINATIONS, APPEALS, AND GRIEVANCES</b>							
Send to RO	Have Available Onsite	NA	Deemable (Y/N)	Element Code	Description of Element/General Information	Element Type	Associated Worksheet(s)
					<b>Organization Determinations - Claims</b>		
					Documentation for all elements excluding NA		
					Policies and procedures excluding NA		
			N	OC01	Correct Claim Determinations	Sample	WS-OC2
			N	OC02	Reasonable Reimbursement for Covered Services	Onsite	
			N	OC03	Timely Payment of Non-Contracting Provider Clean Claims	Sample	WS-OC1
			N	OC04	Interest on Clean Claims Paid Late	Sample	WS-OC1
			N	OC05	Timely Adjudication of Non-Clean Claims	Sample	WS-OC1& WS-OC2
			N	OC06	Claim Denials (Notice Content)	Sample	WS-OC2
			N	OC07	Medicare Secondary Payer (Claims)	Onsite	

Send to RO	Have Available Onsite	NA	Deemable (Y/N)	Element Code	Description of Element/General Information	Element Type	Associated Worksheet(s)
					<b>Organization Determinations - Pre-Service</b>		
					Documentation for all elements excluding NA		
					Policies and procedures excluding NA		
			N	OP01	Standard Pre-Service Denials (Timeliness)	Sample	WS-OP1
			N	OP02	Standard Pre-Service Denials (Notice Content)	Sample	WS-OP1
			N	OP03	Receipt and Documentation of Expedited Organization Determination Requests	Onsite	
			N	OP04	Request for Expedited Organization Determinations (Timeliness)	Sample	WS-OP2
			N	OP05	Expedited Denials (Notice Content)	Sample	WS-OP2
			N	OP06	Organization Determination Extensions (Notice Content)	Onsite	
			N	OP07	Decision Not to Expedite an Organization Determination (Notice Content)	Onsite	
			N	OP08	Correctly Distinguishes Between Organization Determinations and Reconsiderations	Sample	WS-OP1 & WS-OP2
			N	OP09	Standard Pre-Service Approvals (Timeliness)	Sample	WS-OP3
					<b>Reconsiderations - General</b>		
					Documentation for all elements excluding NA		
					Policies and procedures excluding NA		
			N	RE01	Acceptance of Standard Reconsideration Requests	Ongoing	
			N	RE02	Appropriate Person(s) Conduct the Reconsideration	Onsite	
					<b>Reconsiderations - Claims</b>		
					Documentation for all elements excluding NA		
					Policies and procedures excluding NA		
			N	RC01	Favorable Claims Reconsiderations (Timeliness)	Sample	WS-RC1
			N	RC02	Adverse Claims Reconsiderations (Timeliness)	Sample	WS-RC2
			N	RC03	Effectuation of Third Party Claims Reconsideration Reversals	Sample	WS-RC2
					<b>Reconsiderations - Pre-Service</b>		
					Documentation for all elements excluding NA		
					Policies and procedures excluding NA		
			N	RP01	Favorable Standard Pre-Service Reconsiderations (Timeliness)	Sample	WS-RP1

Send to RO	Have Available Onsite	NA	Deemable (Y/N)	Element Code	Description of Element/General Information	Element Type	Associated Worksheet(s)
			N	RP02	Adverse Standard Pre-Service Reconsiderations (Timeliness)	Sample	WS-RP2
			N	RP03	Effectuation of Third Party Standard Pre-Service Reconsideration Reversals	Sample	WS-RP2
			N	RP04	Receipt and Documentation of Expedited Reconsideration Requests	Onsite	
			N	RP05	Requests for Expedited Reconsiderations (Timeliness)	Sample	WS-RP3
			N	RP06	Decision Not to Expedite Reconsideration (Notice Content)	Onsite	
			N	RP07	Effectuation of Third Party Expedited Reconsideration Reversals	Sample	WS-RP3
			N	RP08	Reconsideration Extensions (Notice Content)	Onsite	
					<b>Grievances</b>		
					Documentation for all elements excluding NA		
					Policies and procedures excluding NA		
			N	GV01	Organization Determinations and Reconsiderations Not Categorized as Grievances	Sample	WS-GV1
			N	GV02	Grievance Adjudication	Sample	WS-GV1